

A

09-19-01

EL722882111US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Robert Cook and Daniel L. Brors  
Title: THERMAL GRADIENT ENHANCED CVD DEPOSITION AT LOW PRESSURE  
Serial No.: CIP of 09/396,588 filed September 15, 1999  
Our File: 85007-0261905

TRANSMITTAL FOR NEW PATENT APPLICATION

Box Patent Application  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Re: Continuation-in-Part Application

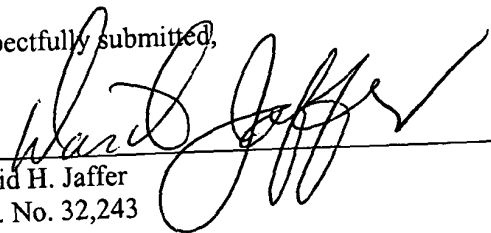
Sir:

Enclosed is a new patent application, including:

1. New Application Transmittal (17 pages);
2. Patent application, including 10-page specification, 2 pages of claims, 1-page abstract and 9 sheets of informal drawing;
3. Declaration and Power of Attorney (unsigned);
4. Copy of Notification of Continuation Application filed in the parent case; and
5. Postcard for date-stamped confirmation of Patent Office's receipt of these materials.

This is an application filed pursuant to 37 CFR 1.53, permitting receipt of a filing date upon filing of specification, claims and drawings, if required, with applicant being given a period of one month from the date of notice to file the fee and oath or declaration.

Respectfully submitted,

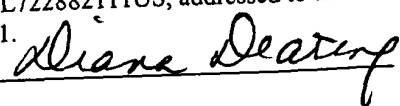
  
David H. Jaffer  
Reg. No. 32,243

Dated: September 10, 2001

PILLSBURY WINTHROP LLP  
2550 Hanover Street  
Palo Alto, CA 94304-1115  
Telephone: (650) 233-4510  
Facsimile: (650) 233-4040

**CERTIFICATION UNDER 37 C.F.R. 1.10**

I, Diana Dearing, hereby certify that this correspondence and the documents referred to as attached hereto are being deposited with the United States Postal Service on this date September 10, 2001, in an envelope as "Express Mail Post Office to Addressee," mailing Label Number EL722882111US, addressed to the BOX NEW APP, Commissioner for Patents, Washington, D.C. 20231.



Preliminary Classification:

Proposed Class:

Subclass:

NOTE: "All applicants are requested to include a preliminary classification on newly filed patent applications. The preliminary classification, preferably class and subclass designations, should be identified in the upper right-hand corner of the letter of transmittal accompanying the application papers, for example 'Proposed Class 2, subclass 129.'" M.P.E.P. § 601, 7th ed.

# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box Patent Application

Assistant Commissioner for Patents

Washington, D.C. 20231

## NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of

Inventor(s): Robert C. Cook and Daniel L. Brors

**WARNING:** 37 C.F.R. § 1.41(a)(1) points out:

"(a) A patent is applied for in the name or names of the actual inventor or inventors.

"(1) The inventorship of a nonprovisional application is that inventorship set forth in the oath or declaration as prescribed by § 1.63, except as provided for in § 1.53(d)(4) and § 1.63(d). If an oath or declaration as prescribed by § 1.63 is not filed during the pendency of a nonprovisional application, the inventorship is that inventorship set forth in the application papers filed pursuant to § 1.53(b), unless a petition under this paragraph accompanied by the fee set forth in § 1.17(i) is filed supplying or changing the name or names of the inventor or inventors."

For (title): THERMAL GRADIENT ENHANCED CVD DEPOSITION AT LOW PRESSURE

### CERTIFICATION UNDER 37 C.F.R. § 1.10\*

(Express Mail label number is mandatory.)

(Express Mail certification is optional.)

I hereby certify that this New Application Transmittal and the documents referred to as attached therein are being deposited with the United States Postal Service on this date September 10, 2001 in an envelope as "Express Mail Post Office to Addressee," mailing Label Number EL722882111, addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231.

Diana Dearing

(type or print name of person mailing paper)

*Diana Dearing*

Signature of person mailing paper

**WARNING:** Certificate of mailing (first class) or facsimile transmission procedures of 37 C.F.R. § 1.8 cannot be used to obtain a date of mailing or transmission for this correspondence.

**\*WARNING:** Each paper or fee filed by "Express Mail" must have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. § 1.10(b).

"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

## 1. Type of Application

This new application is for a(n)

(check one applicable item below)

☒ Original (nonprovisional)

☐ Design

☐ Plant

**WARNING:** Do not use this transmittal for a completion in the U.S. of an International Application under 35 U.S.C. § 371(c)(4), unless the International Application is being filed as a divisional, continuation or continuation-in-part application.

**WARNING:** Do not use this transmittal for the filing of a provisional application.

**NOTE:** If one of the following 3 items apply, then complete and attach **ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF A PRIOR U.S. APPLICATION CLAIMED** and a **NOTIFICATION IN PARENT APPLICATION OF THE FILING OF THIS CONTINUATION APPLICATION**.

☐ Divisional.

☐ Continuation.

☒ Continuation-in-part (C-I-P).

## 2. Benefit of Prior U.S. Application(s) (35 U.S.C. §§ 119(e), 120, or 121)

**NOTE:** A nonprovisional application may claim an invention disclosed in one or more prior filed copending nonprovisional applications or copending international applications designating the United States of America. In order for a nonprovisional application to claim the benefit of a prior filed copending nonprovisional application or copending international application designating the United States of America, each prior application must name as an inventor at least one inventor named in the later filed nonprovisional application and disclose the named inventor's invention claimed in at least one claim of the later filed nonprovisional application in the manner provided by the first paragraph of 35 U.S.C. § 112. Each prior application must also be:

(i) An international application entitled to a filing date in accordance with PCT Article 11 and designating the United States of America; or

(ii) Complete as set forth in § 1.51(b); or

(iii) Entitled to a filing date as set forth in § 1.53(b) or § 1.53(d) and include the basic filing fee set forth in § 1.16; or

(iv) Entitled to a filing date as set forth in § 1.53(b) and have paid therein the processing and retention fee set forth in § 1.21(f) within the time period set forth in § 1.53(f).

37 C.F.R. § 1.78(a)(1).

**NOTE:** If the new application being transmitted is a divisional, continuation or a continuation-in-part of a parent case, or where the parent case is an International Application which designated the U.S., or benefit of a prior provisional application is claimed, then check the following item and complete and attach **ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED**.

**WARNING:** If an application claims the benefit of the filing date of an earlier filed application under 35 U.S.C. §§ 120, 121 or 365(c), the 20-year term of that application will be based upon the filing date of the earliest U.S. application that the application makes reference to under 35 U.S.C. §§ 120, 121 or 365(c). (35 U.S.C. § 154(a)(2) does not take into account, for the determination of the patent term, any application on which priority is claimed under 35 U.S.C. §§ 119, 365(a) or 365(b).) For a c-i-p application, applicant should review whether any claim in the patent that will issue is supported by an earlier application and, if not, the applicant should consider canceling the reference to the earlier filed application. The term of a patent is not based on a claim-by-claim approach. See Notice of April 14, 1995, 60 Fed. Reg. 20,195, at 20,205.

**WARNING:** When the last day of pendency of a provisional application falls on a Saturday, Sunday, or Federal holiday within the District of Columbia, any nonprovisional application claiming benefit of the provisional application must be filed prior to the Saturday, Sunday, or Federal holiday within the District of Columbia. See 37 C.F.R. § 1.78(a)(3).

- ☒ The new application being transmitted claims the benefit of prior U.S. application(s). Enclosed are ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.

### 3. Papers Enclosed

- A. Required for filing date under 37 C.F.R. § 1.53(b) (Regular) or 37 C.F.R. § 1.153 (Design) Application

9 Pages of specification

2 Pages of claims

9 Sheets of drawing

**WARNING:** DO NOT submit original drawings. A high quality copy of the drawings should be supplied when filing a patent application. The drawings that are submitted to the Office must be on strong, white, smooth, and non-shiny paper and meet the standards according to § 1.84. If corrections to the drawings are necessary, they should be made to the original drawing and a high-quality copy of the corrected original drawing then submitted to the Office. Only one copy is required or desired. For comments on proposed then-new 37 C.F.R. § 1.84, see Notice of March 9, 1988 (1990 O.G. 57-62).

**NOTE:** "Identifying indicia, if provided, should include the application number or the title of the invention, inventor's name, docket number (if any), and the name and telephone number of a person to call if the Office is unable to match the drawings to the proper application. This information should be placed on the back of each sheet of drawing a minimum distance of 1.5 cm. (5/8 inch) down from the top of the page . . ." 37 C.F.R. § 1.84(c).

(complete the following, if applicable)

- ☐ The enclosed drawing(s) are photograph(s). Three (3) sets of photographs and a "PETITION TO ACCEPT PHOTOGRAPH(S) AS DRAWING(S)" are attached. 37 C.F.R. § 1.84(b).
- ☐ The enclosed drawing(s) are in color. Three (3) sets of color drawings and a "PETITION TO ACCEPT COLOR DRAWING(S)" are attached. 37 C.F.R. §§ 1.84(a)(2) and 1.84(b).
- ☐ formal
- ☒ informal

- B. Other Papers Enclosed

       Pages of declaration and power of attorney

1 Pages of abstract

       Other

### 4. Additional papers enclosed

- ☐ Amendment to claims
- ☐ Cancel in this applications claims \_\_\_\_\_ before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)
- ☐ Add the claims shown on the attached amendment. (Claims added have been numbered consecutively following the highest numbered original claims.)

- ☐ Preliminary Amendment
- ☐ Information Disclosure Statement (37 C.F.R. § 1.98)
- ☐ Form PTO-1449 (PTO/SB/08A and 08B)
- ☐ Citations
- ☐ Declaration of Biological Deposit
- ☐ Submission of "Sequence Listing," computer readable copy and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequence.
- ☐ Authorization of Attorney(s) to Accept and Follow Instructions from Representative
- ☐ Special Comments
- ☐ Other

**5. Declaration or oath (including power of attorney)**

**NOTE:** A newly executed declaration is not required in a continuation or divisional application provided that the prior nonprovisional application contained a declaration as required, the application being filed is by all or fewer than all the inventors named in the prior application, there is no new matter in the application being filed, and a copy of the executed declaration filed in the prior application (showing the signature or an indication thereon that it was signed) is submitted. The copy must be accompanied by a statement requesting deletion of the names of person(s) who are not inventors of the application being filed. If the declaration in the prior application was filed under § 1.47, then a copy of that declaration must be filed accompanied by a copy of the decision granting § 1.47 status or, if a nonsigning person under § 1.47 has subsequently joined in a prior application, then a copy of the subsequently executed declaration must be filed. See 37 C.F.R. §§ 1.63(d)(1)-(3).

**NOTE:** A declaration filed to complete an application must be executed, identify the specification to which it is directed, identify each inventor by full name including family name and at least one given name, without abbreviation together with any other given name or initial, and the residence, post office address and country or citizenship of each inventor, and state whether the inventor is a sole or joint inventor. 37 C.F.R. § 1.63(a)(1)-(4).

**NOTE:** "The inventorship of a nonprovisional application is that inventorship set forth in the oath or declaration as prescribed by § 1.62, except as provided for in § 1.53(d)(4) and § 1.63(d). If an oath or declaration as prescribed by § 1.63 is not filed during the pendency of a nonprovisional application, the inventorship is that inventorship set forth in the application papers filed pursuant to § 1.53(b), unless a petition under this paragraph accompanied by the fee set forth in § 1.17(f) is filed supplying or changing the name or names of the inventor or inventors." 37 C.F.R. § 1.41(a)(1).

☒ Enclosed (unsigned)

Executed by

(check all applicable boxes)

- ☐ inventor(s).
- ☐ legal representative of inventor(s).  
37 C.F.R. §§ 1.42 or 1.43.
- ☐ joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached.
  - ☐ This is the petition required by 37 C.F.R. § 1.47 and the statement required by 37 C.F.R. § 1.47 is also attached. See item 13 below for fee.

☐ Not Enclosed.

**NOTE:** Where the filing is a completion in the U.S. of an International Application or where the completion of the U.S. application contains subject matter in addition to the International Application, the application may be treated as a continuation or continuation-in-part, as the case may be, utilizing ADDED PAGE FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION CLAIMED.

- ☐ Application is made by a person authorized under 37 C.F.R. § 1.41(c) on behalf of all the above named inventor(s).

(The declaration or oath, along with the surcharge required by 37 C.F.R. § 1.16(e) can be filed subsequently).

- ☐ Showing that the filing is authorized.  
(not required unless called into question. 37 C.F.R. § 1.41(d))

## 6. Inventorship Statement

**WARNING:** If the named inventors are each not the inventors of all the claims an explanation, including the ownership of the various claims at the time the last claimed invention was made, should be submitted.

The inventorship for all the claims in this application are:

☒ The same.

or

- ☐ Not the same. An explanation, including the ownership of the various claims at the time the last claimed invention was made,
- ☐ is submitted.
- ☐ will be submitted.

## 7. Language

**NOTE:** An application including a signed oath or declaration may be filed in a language other than English. An English translation of the non-English language application and the processing fee of \$130.00 required by 37 C.F.R. § 1.17(k) is required to be filed with the application, or within such time as may be set by the Office. 37 C.F.R. § 1.52(d).

- ☒ English
- ☐ Non-English
- ☐ The attached translation includes a statement that the translation is accurate. 37 C.F.R. § 1.52(d).

## 8. Assignment

☒ An assignment of the invention to Torrex Equipment Corporation

- ☐ is attached. A separate ☐ "COVER SHEET FOR ASSIGNMENT (DOCUMENT) ACCOMPANYING NEW PATENT APPLICATION" or ☐ FORM PTO 1595 is also attached.

☒ will follow.

**NOTE:** "If an assignment is submitted with a new application, send two separate letters—one for the application and one for the assignment." Notice of May 4, 1990 (1114 O.G. 77-78).

**WARNING:** A newly executed "CERTIFICATE UNDER 37 C.F.R. § 3.73(b)" must be filed when a continuation-in-part application is filed by an assignee. Notice of April 30, 1993, 1150 O.G. 62-64.

- ☐ This is a ☐ continuation ☐ divisional application and the assignment document for the parent application 0 / \_\_\_\_\_ was filed on \_\_\_\_\_.

Reel \_\_\_\_\_

Frame \_\_\_\_\_

**9. Certified Copy**

Certified copy(ies) of application(s)

Country	Appln. No.	Filed
Country	Appln. No.	Filed
Country	Appln. No.	Filed

from which priority is claimed

- ☐ is (are) attached.  
☐ will follow.

NOTE: The foreign application forming the basis for the claim for priority must be referred to in the oath or declaration. 37 C.F.R. § 1.55(a) and 1.63.

NOTE: This item is for any foreign priority for which the application being filed directly relates. If any parent U.S. application or International Application from which this application claims benefit under 35 U.S.C. § 120 is itself entitled to priority from a prior foreign application, then complete item 18 on the ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.

**10. Fee Calculation (37 C.F.R. § 1.16)****A. ☒ Regular application**

CLAIMS AS FILED			
Number filed	Number Extra	Rate	Basic Fee 37 C.F.R. § 1.16(a) \$710.00
Total Claims (37 C.F.R. § 1.16(c))	- 20 =	× \$ 18.00	
Independent Claims (37 C.F.R. § 1.16(b))	- 3 =	× \$ 80.00	
Multiple dependent claim(s), if any (37 C.F.R. § 1.16(d))		+ \$270.00	

- ☐ Amendment cancelling extra claims is enclosed.  
☐ Amendment deleting multiple-dependencies is enclosed.  
☐ Fee for extra claims is not being paid at this time.

NOTE: If the fees for extra claims are not paid on filing they must be paid or the claims cancelled by amendment, prior to the expiration of the time period set for response by the Patent and Trademark Office in any notice of fee deficiency. 37 C.F.R. § 1.16(d).

Filing Fee Calculation

\$ 710.00

**B. ☐ Design application**  
(\$310.00—37 C.F.R. § 1.16(f))

Filing Fee Calculation

\$ \_\_\_\_\_

- C. ☐ Plant application  
(\$480.00—37 C.F.R. § 1.16(g))

Filing fee calculation

\$ \_\_\_\_\_

**11. Small Entity Status**

- ☐ Statement(s) that this is a filing by a small entity under 37 C.F.R. § 1.9 and 1.27 is (are) attached.

**WARNING:** "Status as a small entity must be specifically established in each application or patent in which the status is available and desired. Status as a small entity in one application or patent does not affect any other application or patent, including applications or patents which are directly or indirectly dependent upon the application or patent in which the status has been established. The refiling of an application under § 1.53 as a continuation, division, or continuation-in-part (including a continued prosecution application under § 1.53(d)), or the filing of a reissue application requires a new determination as to continued entitlement to small entity status for the continuing or reissue application. A nonprovisional application claiming benefit under 35 U.S.C. § 119(e), 120, 121, or 365(c) of a prior application, or a reissue application may rely on a statement filed in the prior application or in the patent if the nonprovisional application or the reissue application includes a reference to the statement in the prior application or in the patent or includes a copy of the statement in the prior application or in the patent and status as a small entity is still proper and desired. The payment of the small entity basic statutory filing fee will be treated as such a reference for purposes of this section." 37 C.F.R. § 1.28(a)(2).

**WARNING:** "Small entity status must not be established when the person or persons signing the . . . statement can **unequivocally** make the required self-certification." M.P.E.P., § 509.03, 6th ed., rev. 2, July 1996 (emphasis added).

(complete the following, if applicable)

- ☒ Status as a small entity was claimed in prior application

09 / 396,588, filed on 9/15/99, from which benefit is being claimed for this application under:

- 35 U.S.C. § ☐ 119(e),  
☒ 120,  
☐ 121,  
☐ 365(c),

and which status as a small entity is still proper and desired.

- ☐ A copy of the statement in the prior application is included.

Filing Fee Calculation (50% of A, B or C above)

\$ 355.00

**NOTE:** Any excess of the full fee paid will be refunded if small entity status is established and a refund request are filed within 2 months of the date of timely payment of a full fee. The two-month period is not extendable under § 1.136. 37 C.F.R. § 1.28(a).

**12. Request for International-Type Search (37 C.F.R. § 1.104(d))**

(complete, if applicable)

- ☐ Please prepare an international-type search report for this application at the time when national examination on the merits takes place.



**13. F Payment Being Made at This Time**

☒ Not Enclosed

☒ No filing fee is to be paid at this time.

*(This and the surcharge required by 37 C.F.R. § 1.16(e) can be paid subsequently.)*

☐ Enclosed

☐ Filing fee \$ \_\_\_\_\_

☐ Recording assignment  
(\$40.00; 37 C.F.R. § 1.21(h))  
(See attached "COVER SHEET FOR  
ASSIGNMENT ACCOMPANYING NEW  
APPLICATION".) \$ \_\_\_\_\_

☐ Petition fee for filing by other than all the  
inventors or person on behalf of the inventor  
where inventor refused to sign or cannot be  
reached  
(\$130.00; 37 C.F.R. §§ 1.47 and 1.17(i)) \$ \_\_\_\_\_

☐ For processing an application with a  
specification in  
a non-English language  
(\$130.00; 37 C.F.R. §§ 1.52(d) and 1.17(k)) \$ \_\_\_\_\_

☐ Processing and retention fee  
(\$130.00; 37 C.F.R. §§ 1.53(d) and 1.21(l)) \$ \_\_\_\_\_

☐ Fee for international-type search report  
(\$40.00; 37 C.F.R. § 1.21(e)) \$ \_\_\_\_\_

**NOTE:** 37 C.F.R. § 1.21(l) establishes a fee for processing and retaining any application that is abandoned for failing to complete the application pursuant to 37 C.F.R. § 1.53(f) and this, as well as the changes to 37 C.F.R. §§ 1.53 and 1.78(a)(1), indicate that in order to obtain the benefit of a prior U.S. application, either the basic filing fee must be paid, or the processing and retention fee of § 1.21(l) must be paid, within 1 year from notification under § 53(f).

**Total fees enclosed** \$ \_\_\_\_\_

**14. Method of Payment of Fees**

☐ Attached is a ☐ check ☐ money order in the amount of \$ \_\_\_\_\_

☐ Authorization is hereby made to charge the amount of \$ \_\_\_\_\_

☐ to Deposit Account No. \_\_\_\_\_

☐ to Credit card as shown on the attached credit card information authorization form PTO-2038.

**WARNING:** Credit card information should not be included on this form as it may become public.

☐ Charge any additional fees required by this paper or credit any overpayment in the manner authorized above.

A duplicate of this paper is attached.

## 15. Authorization to Charge Additional Fees

**WARNING:** If no fees are to be paid on filing, the following items should not be completed.

**WARNING:** Accurately count claims, especially multiple dependent claims, to avoid unexpected high charges, if extra claim charges are authorized.

- ☐ The Office is hereby authorized to charge, in the manner shown above, the following additional fees that may be required by this paper and during the entire pendency of this application.
- ☐ 37 C.F.R. § 1.16(a), (f) or (g) (filing fees)
- ☐ 37 C.F.R. § 1.16(b), (c) and (d) (presentation of extra claims)

**NOTE:** Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims cancelled by amendment prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency (37 C.F.R. § 1.16(d)), it might be best not to authorize the PTO to charge additional claim fees, except possibly when dealing with amendments after final action.

- ☐ 37 C.F.R. § 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)
- ☐ 37 C.F.R. § 1.17(a)(1)–(5) (extension fees pursuant to § 1.136(a)).
- ☐ 37 C.F.R. § 1.17 (application processing fees)

**NOTE:** ". . . A written request may be submitted in an application that is an authorization to treat any concurrent or future reply, requiring a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. An authorization to charge all required fees, fees under § 1.17, or all required extension of time fees will be treated as a constructive petition for an extension of time in any concurrent or future reply requiring a petition for an extension of time under this paragraph for its timely submission. Submission of the fee set forth in § 1.17(a) will also be treated as a constructive petition for an extension of time in any concurrent reply requiring a petition for an extension of time under this paragraph for its timely submission." 37 C.F.R. § 1.136(a)(3).

- ☐ 37 C.F.R. § 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 C.F.R. § 1.311(b))

**NOTE:** Where an authorization to charge the issue fee to a deposit account has been filed before the mailing of a Notice of Allowance, the issue fee will be automatically charged to the deposit account at the time of mailing the notice of allowance. 37 C.F.R. § 1.311(b).

**NOTE:** 37 C.F.R. § 1.28(b) requires "Notification of any change in status resulting in loss of entitlement to small entity status must be filed in the application . . . prior to paying, or at the time of paying, . . . the issue fee. . . ." From the wording of 37 C.F.R. § 1.28(b), (a) notification of change of status must be made even if the fee is paid as "other than a small entity" and (b) no notification is required if the change is to another small entity.

**16. Instructions as to Overpayment**

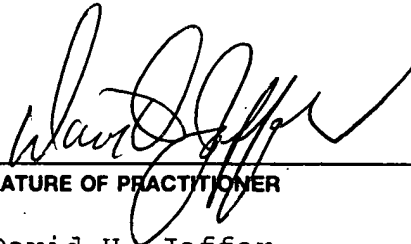
NOTE: "... Amounts of twenty-five dollars or less will not be returned unless specifically requested within a reasonable time, nor will the payer be notified of such amounts; amounts over twenty-five dollars may be returned by check or, if requested, by credit to a deposit account." 37 C.F.R. § 1.26(a).

- ☐ Credit Account No. \_\_\_\_\_
- ☐ Refund

Reg. No. 32,243

Tel. No. (650) 233-4510

Customer No. 27498



SIGNATURE OF PRACTITIONER

David H. Jaffer

(type or print name of attorney)

Pillsbury Winthrop LLP

P.O. Address

2550 Hanover Street  
Palo Alto, CA 94304-1115

☒ **Incorporation by reference of added pages**

*(check the following item if the application in this transmittal claims the benefit of prior U.S. application(s) (including an international application entering the U.S. stage as a continuation, divisional or C-I-P application) and complete and attach the ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED)*

- ☒ **Plus Added Pages for New Application Transmittal Where Benefit of Prior U.S. Application(s) Claimed**

Number of pages added 6

- ☐ **Plus Added Pages for Papers Referred to in Item 4 Above**

Number of pages added \_\_\_\_\_

- ☐ **Plus added pages deleting names of inventor(s) named in prior application(s) who is/are no longer inventor(s) of the subject matter claimed in this application.**

Number of pages added \_\_\_\_\_

- ☐ **Plus "Assignment Cover Letter Accompanying New Application"**

Number of pages added \_\_\_\_\_

☐ **Statement Where No Further Pages Added**

*(if no further pages form a part of this Transmittal, then end this Transmittal with this page and check the following item)*

- ☐ **This transmittal ends with this page.**

COPY

Practitioner's Dock # N . 85007-0262070

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Robert Cook, et al.

Application No.: 09 / 396,588 Group No.: 1762

Filed: September 15, 1999 Examiner: Meeks, T.

For: HIGH RATE SILICON DEPOSITION AT LOW PRESSURES

Assistant Commissioner for Patents

Washington, D.C. 20231

NOTIFICATION OF FILING OF CONTINUING,  
DIVISIONAL OR CONTINUED PROSECUTION APPLICATION

Notification is hereby being made of the filing of a:

- ☐ continuation
- ☒ continuation-in-part
- ☐ divisional
- ☐ continued prosecution

application for this case

☒ concurrently herewith.☐ on \_\_\_\_\_

Date

## CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10

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(type or print name of person certifying)

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"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight, that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

(Notification of Filing of Continuing, Divisional or Continued Prosecution Application [4-9] (page 1 of 2))

Reg. No. 32,243

Tel. No.: (650) 233-4510

Customer No.: 27498

  
SIGNATURE OF PRACTITIONER

David H. Jaffer

(type or print name of practitioner)

Pillsbury Winthrop LLP  
2550 Hanover Street

P.O. Address

Palo Alto, CA 94304-1115

COPY

Practitioner's D c k t N . 85007-0261905

PATENT

1c978 U.S. PTO  
09/954705  
09/10/01

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re prior application of: Robert C. Cook and Daniel L. Brors  
Application No.: 0 7 Group No.:  
Filed: Examiner:  
For: THERMAL GRADIENT ENHANCED CVD DEPOSITION AT LOW PRESSURE

Assistant Commissioner for Patents  
Washington, D.C. 20231

**SUPPLEMENTAL APPLICATION DATA SHEET**  
**37 C.F.R. § 1.76(c)**

NOTE: "Supplemental application data sheets. Supplemental application data sheets:

(1) May be subsequently supplied prior to payment of the issue fee either to correct or update information in a previously submitted application data sheet, or an oath or declaration under § 1.63 or § 1.67, except that inventorship changes are governed by § 1.48, correspondence changes are governed by § 1.33(a), and citizenship changes are governed by § 1.63 or § 1.67; and

(2) Should identify the information that is being changed (added, deleted, or modified) and therefore need not contain all the previously submitted information that has not changed." 37 C.F.R. § 1.76(c).

The following information on the Application Data Sheet is changed as indicated:

**BIBLIOGRAPHIC DATA**

1. ☒ Applicant information is being ☒ added ☐ deleted ☐ modified:

NOTE: 37 C.F.R. § 1.76(b)(1): "(1) Applicant information. This information includes the name, residence, mailing address, and citizenship of each applicant (§ 1.41(b)). The name of each applicant must include the family name, and at least one given name without abbreviation together with any other given name or initial. If the applicant is not an inventor, this information also includes the applicant's authority (§§ 1.42, 1.43, and 1.47) to apply for the patent on behalf of the inventor."

WARNING: Inventorship changes are governed by § 1.48. 37 C.F.R. § 1.76(c)(1).

WARNING: Citizenship changes are governed by § 1.63 or § 1.67. 37 C.F.R. § 1.76(c)(1).

**CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10**

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**TRANSMISSION**

☐ facsimile transmitted to the Patent and Trademark Office, (703)

Signature

Diana Dearing

(type or print name of person certifying)

Date: 9/10/01

(Supplemental Application Data Sheet [4-1.2]—pag 1 of 6)

First applicant:

Robert C. Cook  
GIVEN NAME MIDDLE INITIAL OR NAME FAMILY (OR LAST NAME)  
Citizenship U.S.A.  
Residence 4777 Bennett Drive, Suite E  
Livermore, CA 94550

Second applicant, (if any)

Daniel L. Brors  
GIVEN NAME MIDDLE INITIAL OR NAME FAMILY (OR LAST NAME)  
Citizenship U.S.A.  
Residence 4777 Bennett Drive, Suite E  
Livermore, CA 94550

Third applicant, (if any)

\_\_\_\_\_  
GIVEN NAME MIDDLE INITIAL OR NAME FAMILY (OR LAST NAME)  
Citizenship \_\_\_\_\_  
Residence \_\_\_\_\_

Fourth applicant, if any

\_\_\_\_\_  
GIVEN NAME MIDDLE INITIAL OR NAME FAMILY (OR LAST NAME)  
Citizenship \_\_\_\_\_  
Residence \_\_\_\_\_

Fifth applicant, (if any)

\_\_\_\_\_  
GIVEN NAME MIDDLE INITIAL OR NAME FAMILY (OR LAST NAME)  
Citizenship \_\_\_\_\_  
Residence \_\_\_\_\_

Sixth applicant, (if any)

\_\_\_\_\_  
GIVEN NAME MIDDLE INITIAL OR NAME FAMILY (OR LAST NAME)  
Citizenship \_\_\_\_\_  
Residence \_\_\_\_\_



- ☐ Applicant is not the inventor and applicant's authority (§§ 1.42, 1.43 and 1.47) to apply for the patent on behalf of the inventor is as follows:

**2. Correspondence information is being ☒ added ☐ deleted ☐ modified:**

**NOTE:** 37 C.F.R. § 1.76(b)(2): "(2) Correspondence information. This information includes the correspondence address, which may be indicated by reference to a customer number, to which correspondence is to be directed (see § 1.33(a))."

**WARNING:** Correspondence changes are governed by § 1.33(a)

Correspondence for this application should be addressed as follows:

Name: David H. Jaffer

Address: Pillsbury Winthrop LLP, 2550 Hanover Street,  
Palo Alto, CA 94304-1115

☒ Customer No.: 27498

**3. Application information is being ☐ added ☐ deleted ☐ modified:**

**NOTE:** 37 C.F.R. § 1.76(b)(3): "Application information. This information includes the title of the invention, a suggested classification, by class and subclass, the Technology Center to which the subject matter of the invention is assigned, the total number of drawing sheets, a suggested drawing figure for publication (in a nonprovisional application), any docket number assigned to the application, the type of application (e.g., utility, plant, design, reissue, provisional), whether the application discloses any significant part of the subject matter of an application under a secrecy order pursuant to § 5.2 of this chapter (see § 5.2(c)), and, for plant applications, the Latin name of the genus and species of the plant claimed, as well as the variety denomination. The suggested classification and Technology Center information should be supplied for provisional applications whether or not claims are present. If claims are not present in a provisional application, the suggested classification and Technology Center should be based upon the disclosure."

Title of Invention:

Docket number assigned to this application:

Suggested Classification: Class:

Subclass:

Technology Center to which subject matter is assigned:

**NOTE:** "The suggested classification and Technology Center information should be supplied for provisional applications whether or not claims are present. If claims are not present in a provisional application, the suggested classification and Technology Center should be based upon the disclosure." 37 C.F.R. § 1.76(b)(3).

Total number of drawing sheets:

Type of application:

- ☐ utility
- ☐ application is to be published.  
Suggested drawing figure for publication: \_\_\_\_\_
- ☐ application is not to be published
- ☐ plant
- ☐ Latin names of the genus \_\_\_\_\_  
species \_\_\_\_\_  
of plant being claimed.
- ☐ design
- ☐ reissue
- ☐ provisional

Secrecy order under § 5.2:

This application

- ☐ does not disclose
- ☐ discloses a significant part of the

subject matter of an application which is under a secrecy order pursuant to § 5.2.

**4. Representative information is being ☐ added ☐ deleted ☐ modified:**

**NOTE:** 37 C.F.R. § 1.76(b)(4) states: "Representative information. This information includes the registration number of each practitioner having a power of attorney or authorization of agent in the application (preferably by reference to a customer number). Providing this information in the application data sheet does **not** constitute a power of attorney or authorization of agent in the application (see § 1.34(b))." (Emphasis added).

The following have a power of attorney or authorization of agent in this application:

Name of attorney (agent): \_\_\_\_\_

Address: \_\_\_\_\_

Customer No.: \_\_\_\_\_

5. Domestic Priority information is being ☒ added ☐ deleted ☐ modified:

NOTE: "Domestic priority information. This information includes the application number, the filing date, the status (including patent number if available), and relationship of each application for which a benefit is claimed under 35 U.S.C. 119(e), 120, 121, or 365(c). Providing this information in the application data sheet constitutes the specific reference required by 35 U.S.C. 119(e) or 120, and § 1.78(a)(2) or § 1.78(a)(4), and need not otherwise be made part of the specification." 37 C.F.R. § 1.76(b)(5).

☒ Domestic priority for this application is claimed as follows: SEE REVERSE SIDE

☐ 35 U.S.C. § 119(e): Application No.: \_\_\_\_\_

Filed: \_\_\_\_\_

Status: \_\_\_\_\_

Relationship: \_\_\_\_\_

☐ 35 U.S.C. § 120: Application No.: \_\_\_\_\_

Filed: \_\_\_\_\_

Status: \_\_\_\_\_

Relationship: \_\_\_\_\_

☐ 35 U.S.C. § 121: Application No.: \_\_\_\_\_

Filed: \_\_\_\_\_

Status: \_\_\_\_\_

Relationship: \_\_\_\_\_

☐ 35 U.S.C. § 365(c): Application No.: \_\_\_\_\_

Filed: \_\_\_\_\_

Status: \_\_\_\_\_

Relationship: \_\_\_\_\_

6. Foreign priority information is being ☐ added ☐ deleted ☐ modified:

NOTE: "Foreign priority information. This information includes the application number, country, and filing date of each foreign application for which priority is claimed, as well as any foreign application having a filing date before that of the application for which priority is claimed. Providing this information in the application data sheet constitutes the claim for priority as required by 35 U.S.C. 119(b) and § 1.55(a)." 37 C.F.R. § 1.76(b)(6).

☐ Foreign priority is claimed for this application as follows:

Country: \_\_\_\_\_

Application No.: \_\_\_\_\_

Filing date: \_\_\_\_\_

Status: \_\_\_\_\_

Foreign application having a filing date before that of the above application for which priority is claimed.

☐ None

☐ Country: \_\_\_\_\_

Application No.: \_\_\_\_\_

Filing date: \_\_\_\_\_

Status: \_\_\_\_\_

This application is a continuation in part of U. S. Application Serial No. 09/396,538 filed September 15, 1999 (which claims the benefit of U. S. Provisional Application Serial No. 60/100,594 filed September 16, 1998), which is continuation in part of (a) U. S. Application Serial No. 08/909,461 filed August 11, 1997, (b) U. S. Application Serial No. 09/228,835 filed January 12, 1999 (which claims the benefit of U. S. Provisional Application Serial No. 60/071,572 filed January 15, 1998), and (c) U. S. Application Serial No. 09/228,840 filed January 12, 1999 (which claims the benefit of U. S. Provisional Application Serial No. 60/071,571 filed January 15, 1998).

7. Assign e inf rmation is b ing ☐ add d ☐ d l t d ☐ modifi d:

NOTE: 37 C.F.R. § 1.76(b) " Assignee information. This information includes the name (either person or juristic entity) and address of the assignee of th entire right, title, and interest in an application. Providing this information in the application data sheet does not substitute for compliance with any requirement of part 3 of this chapter to have an assignm nt recorded by the Office."

NOTE: 37 C.F.R. § 1.215(b): "(b) If applicant wants the patent application publication to include assignee information, the applicant must include the assignee information on the application transmittal sheet or the application data sheet (§ 1.76). Assignee information may not be included on the patent application publication unless this information is provided on the application transmittal sheet or application data sheet included with the application on filing. Providing this information on the application transmittal sheet or the application data sheet does not substitute for compliance with any requirement of part 3 of this chapter to have an assignment recorded by the Office."

The assignee(s) of this application is/are:

Name of assignee: \_\_\_\_\_

Address of assignee: \_\_\_\_\_

Extent of interest of assignee in application: \_\_\_\_\_

Reg. No. 32,243

Tel. No. (650) 233-4510

Customer No. 27498

  
Signature of Practitioner

David H. Jaffer  
(type or print name of practitioner)  
Pillsbury Winthrop LLP

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